

520 Rec'd PCT/PTO 27 MAR 2000

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

PTO-1390 (Modified)
(REV. 11-98)

TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371

INTERNATIONAL APPLICATION NO. **PCT/DE98/02860** INTERNATIONAL FILING DATE **25 September 1998**

ATTORNEY'S DOCKET NUMBER
Mulle

U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR 1.52)
09/509400

PRIORITY DATE CLAIMED
27 September 1997

TITLE OF INVENTION
Aluminium Acetoacetate Compounds, the Production and Use Thereof as Printing Ink Additives

APPLICANT(S) FOR DO/EO/US
Peter Finnans and Christina Diblitz

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☒ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application was filed (35 U.S.C. 371 (c) (2))
 - a. ☒ is transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ has been transmitted by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☒ A copy of the International Search Report (PCT/ISA/210).
8. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
 - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ have been transmitted by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☒ have not been made and will not be made.
9. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
10. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
11. ☒ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☒ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).

Items 13 to 20 below concern document(s) or information included:

13. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☒ A **FIRST** preliminary amendment.
16. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☐ A substitute specification.
18. ☐ A change of power of attorney and/or address letter.
19. ☒ Certificate of Mailing by Express Mail
20. ☒ Other items or information:

Acknowledgment Postcard

PCTUS1/REV03

U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR 1.53) 09/50940	INTERNATIONAL APPLICATION NO. PCT/DE98/02860	ATTORNEY'S DOCKET NUMBER Muller-17
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21. The following fees are submitted:

BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)) :

- ☐ Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO **\$970.00**
- ☒ International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO **\$840.00**
- ☐ International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO **\$690.00**
- ☐ International preliminary examination fee paid to USPTO (37 CFR 1.482) but all claims did not satisfy provisions of PCT Article 33(1)-(4) **\$670.00**
- ☐ International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(1)-(4) **\$96.00**

ENTER APPROPRIATE BASIC FEE AMOUNT = \$840.00

Surcharge of \$130.00 for furnishing the oath or declaration later than _____ months from the earliest claimed priority date (37 CFR 1.492 (e)). ☐ 20 ☐ 30

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	
Total claims	30 - 20 =	10	x \$18.00	\$180.00
Independent claims	2 - 3 =	0	x \$78.00	\$0.00
Multiple Dependent Claims (check if applicable) <input checked="" type="checkbox"/>				\$260.00
TOTAL OF ABOVE CALCULATIONS				\$1,280.00

Reduction of 1/2 for filing by small entity, if applicable. Verified Small Entity Statement must also be filed (Note 37 CFR 1.9, 1.27, 1.28) (check if applicable). ☐ \$0.00

Processing fee of \$130.00 for furnishing the English translation later than _____ months from the earliest claimed priority date (37 CFR 1.492 (f)). ☐ 20 ☐ 30 + \$0.00

TOTAL NATIONAL FEE = \$1,280.00

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable). ☐ \$0.00

TOTAL FEES ENCLOSED = \$1,280.00

Amount to be refunded	\$
charged	\$

CALCULATIONS PTO USE ONLY

☒ A check in the amount of **\$1,280.00** to cover the above fees is enclosed.

☐ Please charge my Deposit Account No. _____ in the amount of _____ to cover the above fees.

A duplicate copy of this sheet is enclosed.

☒ The Commissioner is hereby authorized to charge any fees which may be required, or credit any overpayment to Deposit Account No. **02-4345** A duplicate copy of this sheet is enclosed.

SIGNATURE

C. James Bushman

NAME

24,810

REGISTRATION NUMBER

March 27, 2000

DATE

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

C. James Bushman
Browning Bushman
5718 Westheimer, Suite 1800
Houston, Texas 77057
Tel.: (713) 266-5593
Fax: (713) 266-5169

CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)

Applicant(s): Peter Finnans and Christina Diblitz

Docket No.

Muller-17

Serial No.

To Be Assigned

Filing Date

Herewith

Examiner

To Be Assigned

Group Art Unit

To Be Assigned

Invention: Aluminium Acetoacetate Compounds, the Production and Use Thereof as Printing Ink Additives

I hereby certify that this Trans. Ltr. to the U.S. DO/EO/US re Filing Under 35 USC 371 and all ref. enclosure
(Identify type of correspondence)

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under
 37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on

March 27, 2000

(Date)

Jan C. Lipscomb

(Typed or Printed Name of Person Mailing Correspondence)

Jan C. Lipscomb
(Signature of Person Mailing Correspondence)

EL010850996US

("Express Mail" Mailing Label Number)

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Note: Each paper must have its own certificate of mailing.